

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

NASA's FY 2015 Management and Performance section^{1,2} is an appendix to NASA's 2015 Congressional Justification. This section summarizes NASA as an organization and NASA's approach to performance management, strategic planning, and performance reporting. The overview of NASA explains how the Agency is organized, governed, and managed; and how the Agency uses data, evaluations, and reporting to manage performance. Two additional sections describe NASA's management priorities and challenges and NASA's reported performance for FY 2013 and performance measures for FY 2014 and FY 2015.

A Performance-Based Organization

NASA is a performance-based organization, as defined and described by the Office of Management and Budget's (OMB's) [Circular A-11](#). A performance-based organization commits to management towards specific measurable goals derived from a defined mission, using performance data to continually improve operations. The concept of a performance-based organization was initiated and codified in the Government Performance and Results Act (GPRA) of 1993, and was updated in the [GPRA Modernization Act of 2010](#). As a performance-based organization, NASA is dedicated to results-driven management focused on optimizing value to the American public. It sets concrete goals and holds itself accountable to those goals through a transparent framework of how to measure progress.

NASA VISION AND MISSION

NASA's Vision and Mission are defined collaboratively through internal and external stakeholder input. NASA last revised these Vision and Mission statements in the [2014 Strategic Plan](#).

NASA's Vision is:

We reach for new heights and reveal the unknown for the benefit of humankind.

NASA's Mission is to:

Drive advances in science, technology, aeronautics, and space exploration to enhance knowledge, education, innovation, economic vitality, and stewardship of Earth.

ORGANIZATIONAL STRUCTURE

NASA's organizational structure is designed to accomplish its Mission through sound business, management, and safety oversight. Under the leadership of the [Administrator](#), NASA offices at [Headquarters](#) in Washington, DC, guide and direct the Agency. The Office of the Administrator provides top-level strategy and direction for the Agency. The Administrator and his staff give programmatic direction for NASA's missions and guide the operations of the Centers. NASA's [Centers](#) and installations

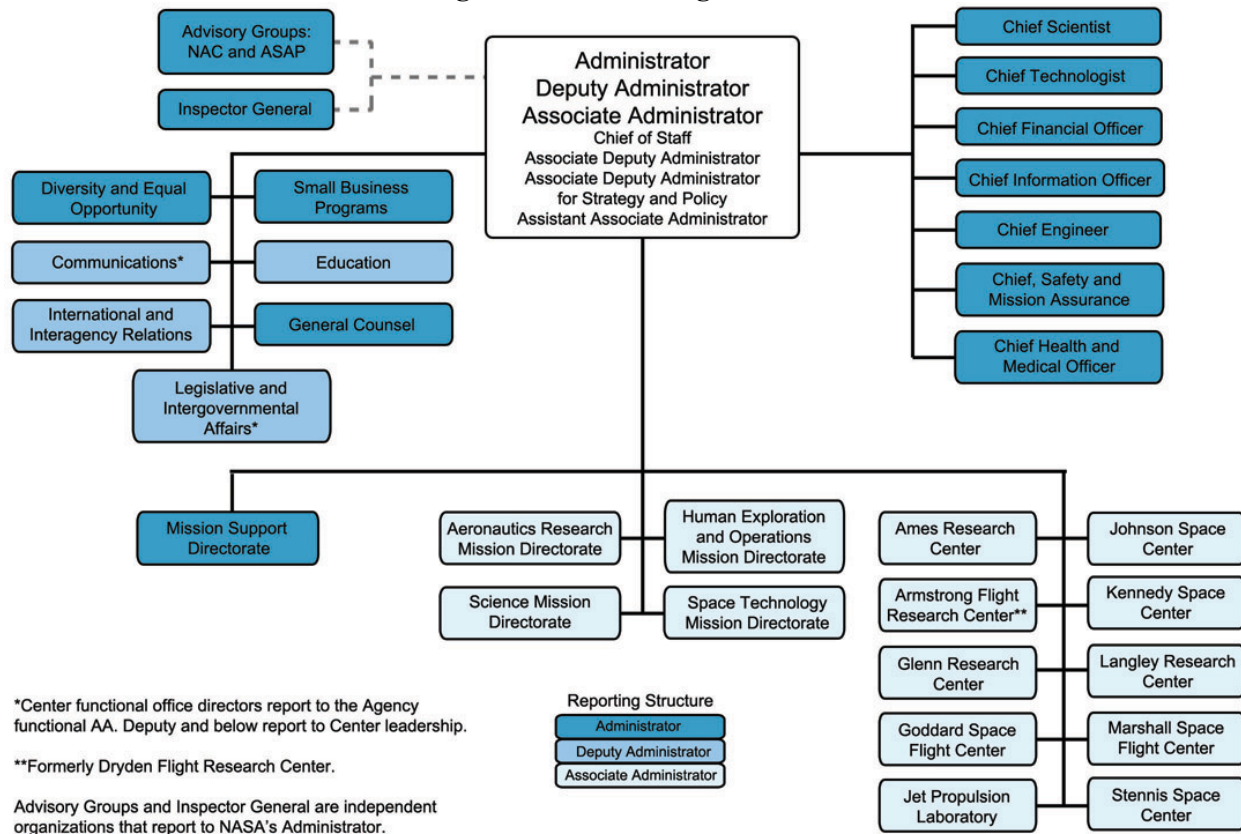
¹ Printed versions of NASA's 2015 Congressional Justification only will include a section of NASA's FY 2015 Management and Performance appendix titled "NASA's Approach to Performance Management." For the full version of the Management and Performance section, see <http://www.nasa.gov/news/budget/index.html>.

² The Management and Performance appendix is produced by NASA's Office of the Chief Financial Officer with contractor support by The Tauri Group.

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

conduct the Agency's day-to-day work. Figure 1 depicts NASA's organizational structure, current as of March 2014.

Figure 1: NASA's Organization



NASA Policy Directive 1000.3D, "The NASA Organization," establishes the roles and responsibilities of NASA senior management. The following components have unique portfolios, budget oversight, and performance management responsibilities in executing the Mission.

- **Science Mission Directorate (SMD)** manages the Agency's Science portfolio budget account and focuses on programmatic work on Earth, planetary, astrophysics, and heliophysics research. SMD engages the U.S. science community, sponsors scientific research, and develops and deploys satellites and probes in collaboration with NASA's international partners to answer fundamental scientific questions and expand the understanding of space. Additional information on SMD is available at <http://science.nasa.gov/>.
- **Aeronautics Research Mission Directorate (ARMD)** manages the Agency's aeronautics research account and portfolio of activities that enable game-changing technology innovation and development, allowing the U.S. aviation industry to continue to grow and maintain global competitiveness. Research programs conduct cutting-edge research at both the fundamental and integrated systems levels to address national and global challenges. ARMD guides its research efforts using a strategic vision that embraces the multiple roles of aviation and expands the

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

understanding of those roles to the global stage, while working to address tomorrow's challenges. Additional information on ARMD is available at <http://www.aeronautics.nasa.gov/>.

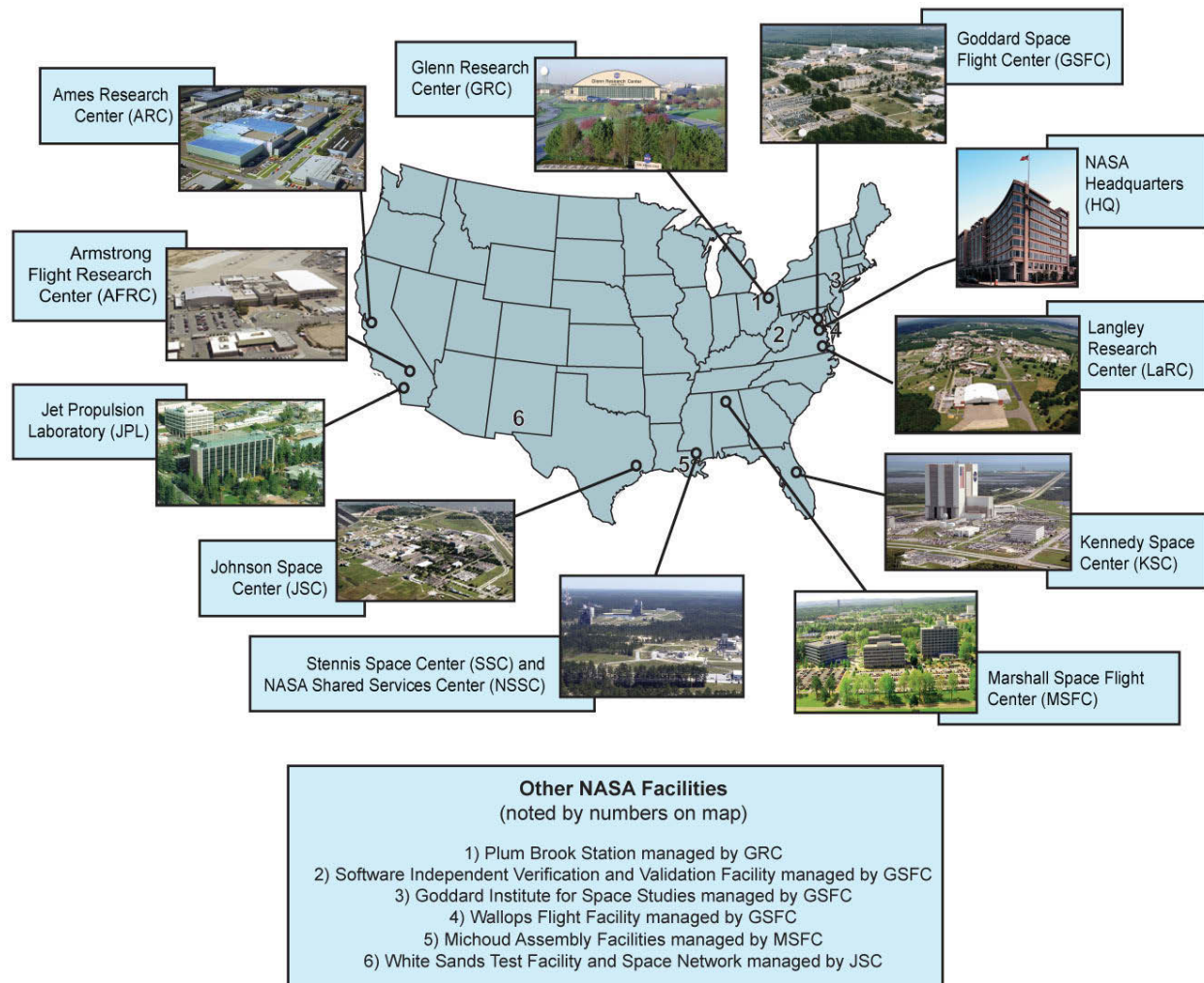
- Space Technology Mission Directorate (STMD) manages the Space Technology account, which also funds the crosscutting activities of the Office of the Chief Technologist. STMD pioneers new technologies and capabilities needed by the Agency and commercial sector. It complements technology development in NASA's other mission directorates, delivering solutions to NASA's technology needs for future science and exploration missions. Additional information on STMD is available at <http://www.nasa.gov/directorates/spacotech/home/index.html>. Additional information on the Office of the Chief Technologist is available at <http://www.nasa.gov/offices/oct/home/index.html>.
- Human Exploration and Operations Mission Directorate (HEOMD) manages the budget account for the Exploration and Space Operations portfolio. HEOMD manages development of the Space Launch System (SLS), Orion, future exploration technologies, and works with U.S. commercial space industry partners to develop commercial systems for providing crew and cargo transportation services to and from low Earth orbit. HEOMD also manages operations and research for the International Space Station (ISS), and communications systems and networks that enable deep space and near-Earth exploration. Additional information on HEOMD is available at <http://www.nasa.gov/directorates/heo/home/index.html>.
- Mission Support Directorate (MSD) supports all NASA missions in a crosscutting manner. For example, MSD manages the Cross Agency Support (CAS) and Construction and Environmental Compliance and Restoration (CECR) accounts, which cut across all mission directorates. CAS and CECR accounts fund operations at Headquarters and the Centers, as well as institutional and programmatic construction of facilities. MSD reports progress on major national initiatives to the Administrator and other senior Agency officials, provides independent reviews and investigations, and liaises with the public and other Federal agencies. MSD is based at Headquarters, but has representatives at the Centers to provide coordination and control. Additional information on MSD is available at <http://msd.hq.nasa.gov/>.
- Office of Education (Education) develops and manages a portfolio of educational programs for students and teachers at all levels. Education seeks to develop a vibrant pool of individuals for the future workforce for sustainable support of national and NASA missions by attracting and retaining students in science, technology, engineer, and mathematics disciplines, and raising public awareness of NASA's activities. To achieve these goals, Education works in partnership with other Government agencies, nonprofit organizations, museums, and the education community at large. Additional information on the Office of Education is available at <http://www.nasa.gov/offices/education/about/>.
- The Administrator's Staff Offices support the Administrator's responsibilities by providing a range of high-level guidance and support in critical areas like safety and mission assurance, technology planning, equal opportunity, information technology, financial administration, small business administration, international relations, and legislative and intergovernmental affairs. Additional information on the Administrator's Staff Offices is available at http://www.nasa.gov/about/org_index.html.
- The Office of Inspector General conducts audits, reviews, and investigations of NASA programs to prevent and detect fraud, waste, abuse, and mismanagement and to assist NASA management in promoting economy, efficiency, and effectiveness. Additional information on the Office of Inspector General is available at <http://oig.nasa.gov/>.

A dedicated workforce transforms NASA's Mission into reality. NASA employs about 18,000 civil servants at Headquarters in Washington, DC, its Centers, and other facilities across the country. NASA

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

staffs each location with a contractor workforce for technical and business operations support. Figure 2 shows the distribution of NASA's Centers and major facilities. NASA also has many other facilities throughout the country and around the world.

Figure 2: NASA Centers and Facilities Nationwide



Governance and Strategic Management

GOVERNANCE

Agency governance is critical to mission success and delivering on the Agency's commitment to good stewardship of taxpayer resources. Governance is the way decisions are made and the foundation on which NASA is managed. Good governance is indispensable for NASA's success, and it requires consistent management, cohesive policies, guidance, and process. NASA governs through a combination

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

of councils and key executive roles, whose decisions are implemented by a unique organizational structure and decision authorities.

NASA governs through three Agency-level councils, each with distinct charters and responsibilities. Councils evaluate issues and support decision authorities when topics require high levels of integration, visibility, and approval. Councils are used to provide high-level oversight, set requirements and strategic priorities, and guide key assessments of the Agency. The three councils are the Executive Council (EC), the Program Management Council (PMC), and the Mission Support Council (MSC). The EC focuses on major Agency-wide decisions; the MSC focuses on mission-enabling decisions; and the PMC focuses on program and mission decisions as programs reach Key Decision Points (KDPs). Regardless of organizational position, senior managers are accountable to the respective council chairs.

NASA's governance policy ensures that leadership approaches strategic management decisions with rigor and reliable data. As shown in Figure 3, the governance councils affect all phases of the performance management cycle.

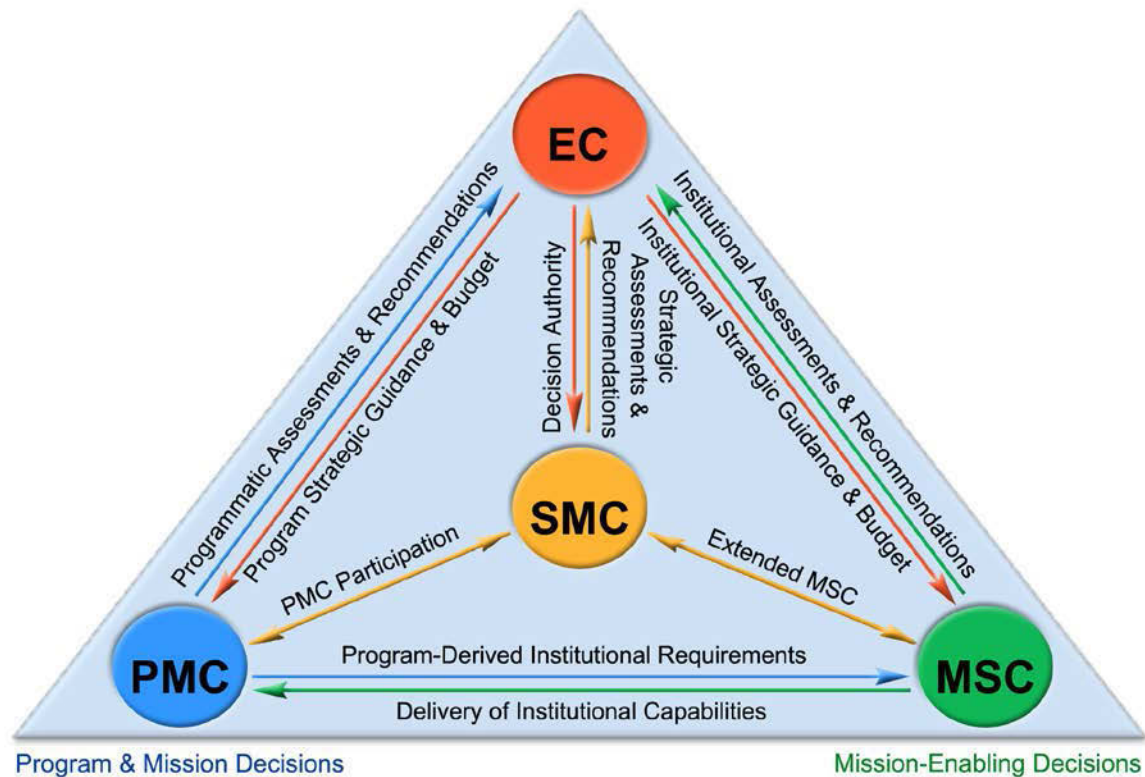
While governing through councils, NASA's Mission-driven organization relies on the line organization for implementation. Stemming from the mission directorates and Centers, implementation takes place primarily at the program or project level, where requirements, budget, and schedule are managed. Managers make and implement decisions within their area of responsibility and within the context of the larger organization. Accordingly, they have authority over their approved budgets, schedules, workforce, and capital assets. However, managers also work across organizational lines to achieve program and project integration and to ensure appropriate synergy and effective resource utilization.

Each month, NASA conducts an internal assessment, the Baseline Performance Review (BPR), that tracks performance against Agency decisions. The BPR, led by the Associate Administrator, is a bottom-up review of how well the Agency has performed against its strategic goals and other performance metrics, such as cost, schedule, contract, and technical commitments. Additional advice and assessment is solicited from external bodies within the science and research communities.

At the request of the Office of the Administrator, elements in the formal organization or special ad hoc teams address integration issues that cross-organizational responsibilities of mission directorates, mission support offices, and Centers.

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

Figure 3: Functional Relationships Between NASA's Governing Councils



In addition to the governing councils, the Strategic Management Council (SMC) is a larger body of internal subject matter experts that provides advice and counsel to senior leadership on key issues of the Agency; provides input on the formulation of Agency strategy; and when delegated by the EC, serves as the Agency senior decision-making body on specific topics of strategic direction and planning.

The Administrator leads the Agency and is accountable to the President for all aspects of the Agency's Mission, including establishing and articulating the Agency's Vision, strategy, and priorities and overseeing successful implementation of supporting policies, programs, and performance assessments. The Administrator performs all necessary functions to govern NASA operations and exercises the powers vested in NASA by law.

The GPRA Modernization Act requires all agency heads to designate an Agency Chief Operating Officer (COO) and Performance Improvement Officer (PIO) for managing Agency performance. The Administrator appoints the COO and the PIO to ensure the Agency's mission is achieved through management of activities in accordance with the GPRA Modernization Act. NASA's Associate Administrator is the current COO and the Director of the Strategic Investments Division in the Office of the Chief Financial Officer is the current PIO. NASA's PIO reports to the COO.

The three primary responsibilities of NASA's performance leaders are goal setting, assuring timely, actionable performance information is available to decision-makers at all levels of the organization, and conducting frequent data-driven reviews that guide decisions and actions to improve performance.

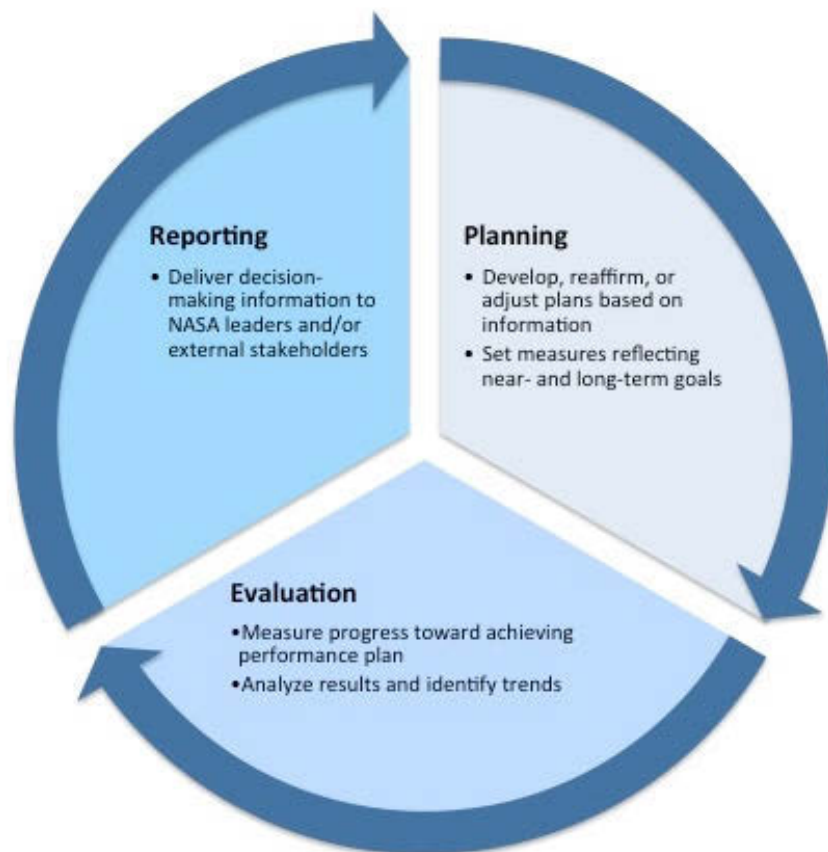
NASA'S APPROACH TO PERFORMANCE MANAGEMENT

outcomes and reduce costs. NASA's COO provides organizational leadership to improve performance; helps the Agency meet the Mission and goals of the Agency through performance planning, measurement, analysis, and regular assessment of programs; chairs data-driven performance reviews; and redirects resources to priorities, including budget and staffing, to improve performance. The PIO supports the Administrator and COO by leading efforts to set goals; conducting quarterly, data-driven performance reviews and analysis; coordinating cross-agency collaboration and Agency leadership on performance; ensuring alignment of personnel performance; communicating performance goals; and collaborating with mission directorates, mission support offices, leadership, and OMB to set meaningful goals.

STRATEGIC MANAGEMENT

NASA's performance management activities follow a continuous cycle to ensure strategic management and accountability. Figure 4 depicts how the three phases of NASA's performance management cycle relate.

Figure 4: Performance Management Cycle



The planning phase is a continuous, iterative process of assessment and adjustment of NASA's Mission objectives at both the strategic and detailed levels to reflect national priorities, Congressional guidance, and other stakeholder input. Forming the foundation of the Strategic Management System are the processes for strategic long- and near-term planning. These processes take into account differing time spans and the complex interactions of guidance and requirements, independent assessments and analyses,

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

and specific needs of a multi-faceted organization. Strategic long-term planning analyses and initiatives are focused on the timeframes of 10 years or beyond and provide context and input to the NASA Strategic Plan and near-term planning efforts.

In the evaluation phase, NASA holds leadership accountable for near-term performance standards and metrics and progress towards long-term objectives. Program authorities hold internal reviews on a regular basis to monitor and evaluate performance. The results support internal management processes and decision-making. The COO reviews progress towards the Agency program and project plans and addresses crosscutting concerns that may affect performance. Additionally, NASA's COO and PIO review progress towards strategic objectives annually.

The reporting phase connects evaluation to planning efforts. NASA managers present performance information to senior leaders, such as council members, and other stakeholders. Performance results inform investment, policy, and performance decisions made in the planning phase of the next performance management cycle.

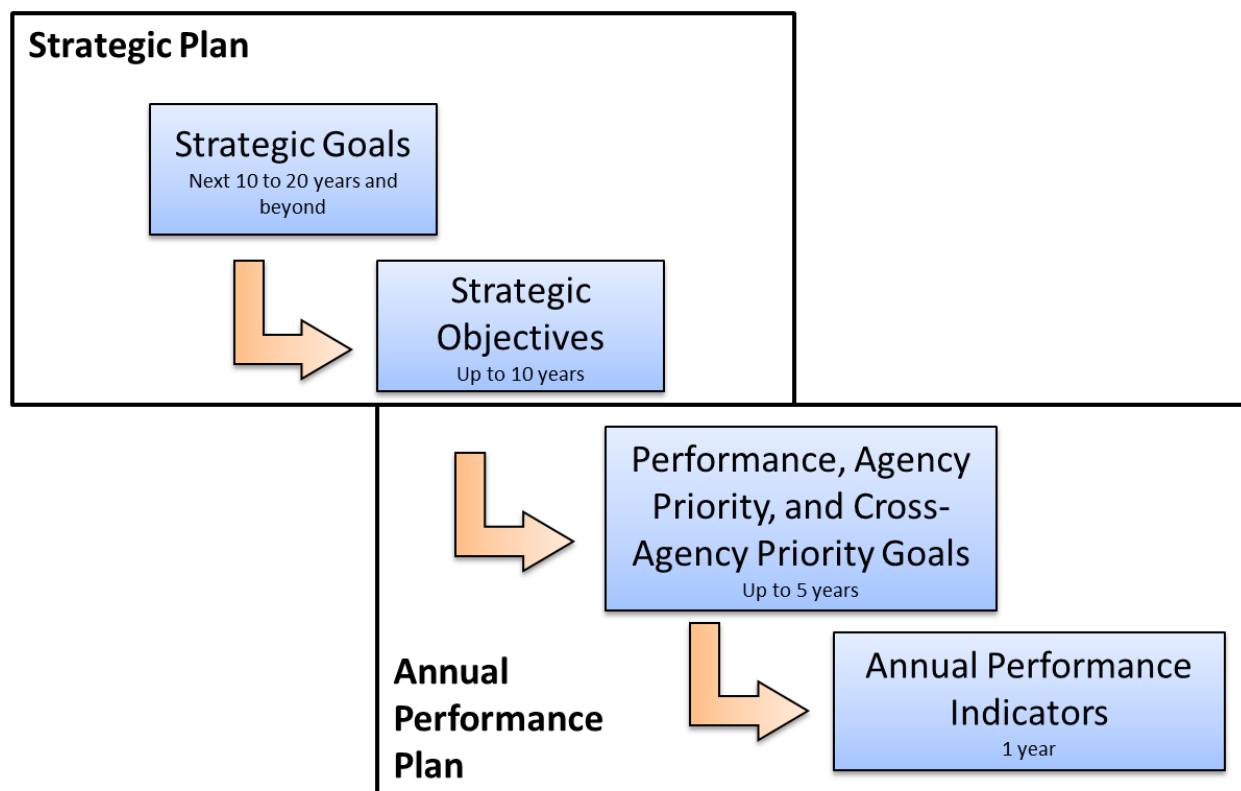
The Strategic Plan, as set by the EC, establishes a strategy and performance framework that aligns short-term performance targets with the Agency's long-term commitments. The current strategy and performance framework consists of the elements of the Strategic Plan and Annual Performance Plans as seen in Figure 5. The strategy and performance framework has four elements:

- Strategic goals,
- Objectives,
- Performance goals, including agency priority goals and cross-agency priority goals, and
- Annual performance indicators.

The internal implementation plans of individual offices and NASA Centers derive from this framework. Internal implementation plans guide each organization's activities toward achieving performance goals and annual performance indicators. As these plans are very technical, they generally remain internal to the Agency.

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

Figure 5: NASA's Strategy and Performance Framework



NASA's [2014 Strategic Plan](#) reflects the top levels in the strategy and performance framework. The strategic goals and strategic objectives result from rigorous internal planning and external consultation with the Agency's stakeholders. Strategic objectives align with NASA's programs in the Congressional Justification.

The Agency's senior leaders set the Strategic Plan to reflect the Agency's direction and priorities, as agreed to with Congress and the Administration. Updates occur according to the timelines set by the GPRA Modernization Act. As such, the Agency plans to update its Strategic Plan again in 2018 with input from stakeholders, including Congress and OMB.

In accordance with the GPRA Modernization Act, NASA also delivers its agency priority goals with its Strategic Plan, to signify the importance of these ambitious, short-term goals in the overall achievement of NASA's strategy. Agency priority goals are discussed in more detail in "Management Priorities and Challenges."

ANNUAL PERFORMANCE PLANS

NASA's Annual Performance Plans set near-term targets for programs, projects, and organizations through performance goals, agency priority goals, cross-agency priority goals, and annual performance indicators. Performance goals, agency priority goals, and cross-agency priority goals focus on planned progress over the next two to four years. Annual performance indicators align to NASA's budget themes

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

and programs in the Congressional Justification. NASA publishes these measures in Annual Performance Plans, which also identify each responsible program or office. The FY 2014 and FY 2015 Performance Plans are included in the “Performance Reporting and Planning” section of this appendix. In its Annual Performance Plans, NASA also sets targets for mission support activities that sustain program and project activities. These performance commitments span the mission support portfolio in a range of areas, including human capital, information technology, infrastructure, and operating activities.

Using Evidence, Evaluation, and Research to Set Strategies and Measure Progress

NASA uses laws, executive orders, governance, and management best practices to promote a strong culture of results and accountability. NASA is committed to demonstrating that its programs and activities are managed and operated effectively and efficiently. This is done through a dynamic process of collecting evidence (data, research, or end product) and conducting rigorous independent evaluations of the evidence. These processes of verification and validation support strategic planning and determine general accuracy and reliability of performance information. These processes provide a level of confidence to stakeholders that the information the Agency provides is credible.

NASA's performance evaluation processes consist of internal and external reviews, including independent assessments and verification. NASA conducts evidence, evaluation, and research activities summarized below.

INTERNAL REVIEWS

- NASA monitors and assesses the engineering process of designing, building, and operating spacecraft and other major assets. Measures of performance for such investments focus on comparisons of actual versus planned schedule and cost. The Agency holds formal independent assessments as the project progresses through a series of gatekeeping KDPs. Such KDPs provide managers time to review all aspects of performance and thoughtfully promote (or delay, or even terminate) work on a project. These points can occur at any time of the year, depending on the formulation, development, or construction plan. NASA conducts additional set technical reviews between the KDPs to assess progress and continually monitor overall performance through the Baseline Performance Review.
- NASA's research programs often have broad goals, such as “understand the origin of the universe.” To measure performance of these types of investments, NASA establishes and measures performance against smaller achievable goals to help demonstrate impact and overall contribution to the knowledge on the subject. It conducts assessments on these programs yearly, and lessons learned are captured as part of a yearly strategic review process.
- NASA assesses technology research and development (R&D) programs against incremental milestones (technology readiness levels, or TRLs). It regularly measures the TRL advancement of an individual technology investment, with overall technology portfolio assessments occurring each year.
- The Agency's operational or support and service type programs generally assess progress on meeting their specific objectives. They can measure performance against targets for output or capacity of the activity, quantifiable estimates of improvement with aggressive targets (e.g.,

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

reducing operating costs by two percent in two years), customer satisfaction, or routine on-site assessments. These assessments are often done annually.

- As part of end-of-fiscal year reporting, NASA's mission directorates and mission support offices within MSD and the Education office submit evidence supporting all performance measure ratings and rating explanations. This information is stored in the Performance Warehouse.

EXTERNAL REVIEWS AND ASSESSMENTS

- NASA relies on evaluations by the external community. Papers from NASA-supported research undergo independent peer-review for publication in professional journals. The Agency uses external peer review panels to objectively assess and evaluate proposals for new work in its science areas, technology development, and education. NASA often leverages internal and external evaluators to assess strategies, impact, implementation, efficiency and effectiveness, cost to benefit ratio, and relevance of work being performed. NASA relies on Senior Reviews by external scientists for advice on the most productive uses of funding for extended operations of science missions.
- Evaluations are a routine business activity in NASA. A series of decadal surveys and other analyses, conducted by the National Academies, help inform decisions about the Science Mission Directorate's investment portfolio and other aspects of NASA's R&D efforts. These external evaluations of user needs and requirements, in combination with performance assessments of on-going activities, help ensure that NASA's research priorities and investments stay current with the needs of the research community. The Technology Roadmaps are a similar planning tool, reflecting the R&D and technology needs of NASA, the government, and industry.

INNOVATIVE USE OF DATA FOR IMPROVED PERFORMANCE

NASA has answered the President's 2013 call to promote performance solutions that deliver a smarter, more innovative, and more accountable government for its citizens.³ A critical component of this effort is strengthening NASA's ability to continually improve program performance by applying existing evidence about what works, generating new knowledge, and using experimentation to test new approaches to program delivery. NASA's strong commitment to this effort can be seen in a variety of tools aimed at increasing its ability to use relevant performance information for budget and programming decisions.

In 2012, NASA implemented a Performance Management System comprised of the Performance Warehouse, a database designed in partnership with the Department of Treasury, and a companion system, the Performance Dashboard. These are internal NASA tools, but they produce reports that are publicly available at <http://www.nasa.gov/news/budget/index.html>. The Performance Warehouse standardizes data collection and archiving, streamlines performance reporting (both internally and to sites such as <http://performance.gov/>), and enables advanced data analytics. Beyond supporting NASA's internal management processes, these capabilities facilitate compliance with legislative and executive branch requirements, such as preparing machine-readable formats of performance information, and carrying out verification and validation of performance data. The Performance Dashboard automates ad hoc performance analysis, including production of mandated reports and plans such as the combined Annual Performance Plans and Annual Performance Report included in the "Performance Reporting and Planning" section in this appendix.

³OMB Memorandum-13-17, "[Next Steps in the Evidence and Innovation Agenda](#)," July 26, 2013.

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

NASA is implementing an effort to enhance its program planning and control capability, including the use of earned value management, a project management technique for measuring project performance, progress, and risk. NASA collects program and project cost-estimating data, including project joint confidence levels, through its Cost Analysis Data Requirement (CADRe) and the One NASA Cost Engineering (ONCE) database. NASA is analyzing CADRe information collected in the ONCE database to gain insight into program and project growth over time. The objective is to use this analysis to improve cost estimation techniques and assessments of program and project planning and lifecycle reviews. NASA continues to strengthen the use of this tool.

PERFORMANCE MANAGEMENT

Once NASA organizations begin executing against commitments in the Strategic Plan and Annual Performance Plan, Agency managers and performance analysts monitor and evaluate performance. Internal reporting requirements drive the evaluation phase and call for analysis of results against planned performance. NASA continuously measures the Agency's progress in pursuit of its strategic goals, strategic objectives, and performance measures, and reports progress towards its targets to Congress and the public in the Annual Performance Report. The Agency shares its report combined with future Annual Performance Plans to provide a holistic view of NASA's performance.

The Agency monitors and evaluates performance toward plans and commitments using assessments, through which managers identify issues, gauge programmatic and organizational health, and provide appropriate data and evidence to NASA decision-makers. Assessments include:

- On-going monthly and quarterly analysis and reviews of Agency activities;
- Annual program/project assessments in support of budget formulation;
- Annual reporting of performance, management issues, and financial position;
- Strategic reviews of each strategic objective (starting in spring 2014);
- Periodic, in-depth program or special purpose assessments; and
- Recurring or special assessment reports to internal and external organizations.

QUARTERLY REPORTING

Each quarter, program officials submit to NASA management a self-evaluation that includes a rating for each performance measure and the supporting information that justifies the rating. The results of the quarterly performance assessments are presented to NASA's PIO and COO. This quarterly Executive Review keeps the PIO and COO informed of NASA's performance progress, allows them to make course corrections through the year to maintain alignment with strategic goals, and informs budget discussions. The PIO and COO review and approve the fourth quarter performance ratings before they are sent to OMB for review and subsequently published in the Agency Financial Report. The process culminates with the Annual Performance Report, comprised of the ratings (including any changes made after publication of the Agency Financial Report), rating explanations, and performance improvement plans.

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

ANNUAL ASSESSMENT RATING SCALES AND CRITERIA

NASA evaluates progress toward achieving performance goals and annual performance indicators against the Agency's standard rating scale, summarized in Figure 6. NASA bases performance ratings on internal assessments, mentioned above. External entities, such as scientific review committees and aeronautics technical evaluation bodies, validate the ratings prior to publication by NASA.

Figure 6: Performance Goal Rating Scale

| Rating | Rating Criteria for Performance Goals |
|---|---|
| Green (On Track) | NASA achieved or expects to achieve the intent of the performance goal within the estimated timeframe. NASA achieved the majority of key activities supporting this performance goal. |
| Yellow (At Risk) | NASA expects to achieve the intent of the performance goal within the timeframe; however, there is at least one likely programmatic, cost, or schedule risk to achieving the performance goal. |
| Red (Not on Track) | NASA does not expect to achieve this performance goal within the estimated timeframe. |
| White (Canceled or Postponed) | NASA senior management canceled this performance goal and the Agency is no longer pursuing activities relevant to this performance goal or the program did not have activities relevant to the performance goal during the fiscal year. |

In FY 2013, NASA began defining custom success criteria for each annual performance indicator. Previously, rating criteria were based on a program completion percentage: 100 percent for Green, above 80 percent for Yellow, and below 80 percent for Red. In the current system, mission directorates and mission support offices collaboratively define their own parameters for the color ratings (Green, Yellow, and Red) when the measures are developed. NASA uses these success criteria, combined with explanations of the ratings and sources provided by the mission directorates and mission support offices, to review and validate each rating.

SUMMARY OF FY 2013 PERFORMANCE

NASA reviewed progress toward its 76 performance goals and 94 annual performance indicators for FY 2013. (Performance goals have a two- to five-year timeline.) The results in Figure 7 show actual performance for these measures in FY 2013 and the two prior fiscal years. For both performance goals and APIs, NASA met 93 percent of its targets in FY 2013, represented by Green ratings. Other highlights include:

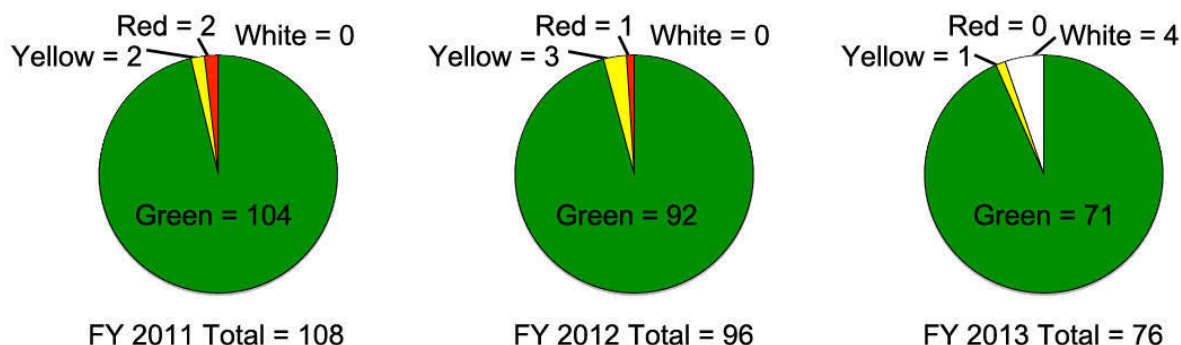
- At the performance goal level, NASA met 96 percent of its targets in both FY 2011 and FY 2012, representing a slight decrease in FY 2013.
- At the annual performance indicator level, NASA met 82 percent of its targets in FY 2011 and 91 percent of its targets in FY 2012, a 13 percent improvement over the two-year period.
- In FY 2013, one percent of NASA's performance goals and three percent of its annual performance indicators fell below expectations, represented by Yellow and Red ratings. The remainder were rated White, which represents measures canceled by NASA senior management.

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

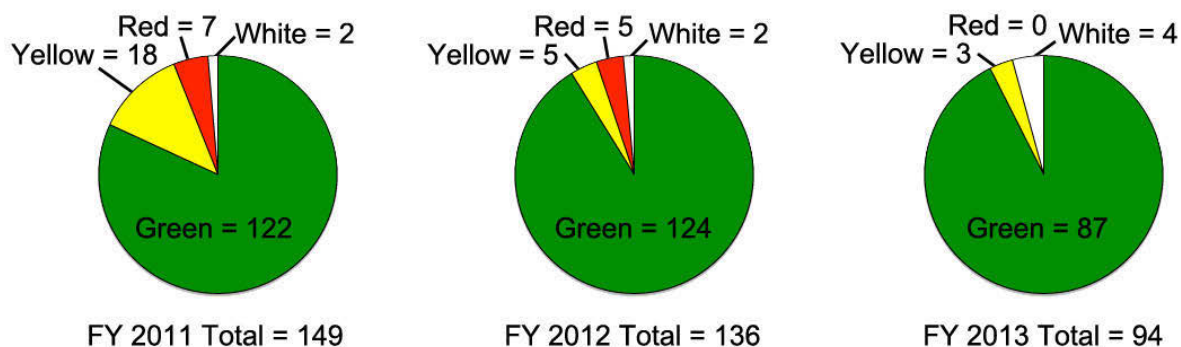
- Four percent of NASA's performance goals in FY 2011 and FY 2012 fell below expectations. Seventeen and seven percent of the annual performance indicators fell below expectations in FY 2011 and FY 2012, respectively.

Figure 7: Trends in Annual Performance, FY 2011-FY 2013

Performance Goals



Annual Performance Indicators



NASA rated one of its performance goals Yellow in FY 2013. The Space Network Ground Segment Sustainment (SGSS) project planned to replace or upgrade obsolete systems at the White Sands Complex. SGSS has not completed the cost and schedule portion of the Critical Design Review (CDR) for this activity; due to performance issues, this project is currently under review.

NASA rated three of its annual performance indicators Yellow in FY 2013. They are related to ISS, SGSS, and the Ice, Cloud, and Land Elevation Satellite (ICESat)-2 activities. NASA rated ISS utilization Yellow, as it is currently at 60 percent utilization, below the 75 percent threshold set for FY 2013. (Utilization includes participation from three classes of participants: NASA research among different NASA programs; ISS National Laboratory operations that include other U.S. agencies and commercial research; and ISS International Partners like the European Space Agency, the Canadian Space Agency, Agenzia Spaziale Italiana, or Italian Space Agency, and Japan Aerospace Exploration Agency.) The SGSS project, which includes updates to the Tracking and Data Relay Satellites (TDRS) and ground segments in New Mexico and Guam, received a Yellow rating due to slower than planned progress towards its 2014 CDR (see the Yellow performance goal described above). ICESat-2 is designed to

NASA'S APPROACH TO PERFORMANCE MANAGEMENT

measure ice sheets, clouds and aerosols, and land topography and vegetation. Due to erosion in cost and schedule performance, the program replaced the instrument management team. The new team will present an achievable plan at CDR, which is now in FY 2014. Based on this revised schedule, NASA rated the FY 2013 annual performance indicator Yellow. This is in accordance with the measure's success criteria for a Yellow rating, which states that it must be completed within the following fiscal year. In three of the last four years, NASA rated the ICESat-2 annual performance indicator Yellow.

NASA rated four performance goals and four annual performance indicators White, as canceled or postponed. FY 2013 budget levels were reduced for two information technology (IT) programs, which affected IT enterprise service commitments for FY 2014, and data center energy consumption commitments for FY 2015. NASA's Office of Education rated one performance goal and one annual performance indicator White, because continuing resolutions in FY 2012 and FY 2013 resulted in the untimely allocation of funds, hindering Education's ability to implement planned programmatic changes within the calendar year. The Office of Education also rated another performance goal and annual performance indicator White, because the measurement strategy was inadequate and did not have an accurate baseline. NASA will re-evaluate these measures in future Annual Performance Plans.